

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

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JODI ROUVIERE and
ANDRE ROUVIERE,

Plaintiffs,

v.

DEPUY ORTHOPAEDICS, INC. n/k/a
MEDICAL DEVICE BUSINESS
SERVICES, INC. and HOWMEDICA
OSTEONICS CORPORATION
d/b/a STRYKER ORTHOPAEDICS,

Defendants.

Case No. 1:18-cv-04814-LJL-SDA

**PLAINTIFF JODI ROUVIERE’S VERIFIED MOTION FOR EVIDENTIARY HEARING
AND MEMORANDUM OF LAW IN SUPPORT THEREOF**

COMES NOW, the Plaintiff, Jodi Rouviere (“Plaintiff”) in the above-entitled numbered cause who files this, her Motion for an Evidentiary Hearing on material facts in controversy raised in her Motion to vacate the final judgments entered in favor of DePuy Orthopaedics, Inc. (“DePuy”) and Howmedica Osteonics Corporation (“Howmedica”) and against Plaintiff pursuant to Federal Rules of Procedure 60(b)(6), and in support thereof states the following:

I. INTRODUCTION

Following the decision by the Second Circuit affirming this Court orders granting summary judgment in favor of Defendants DePuy Orthopaedics, Inc. and Howmedica Osteonics Corporation,¹ *see, Rouviere v. Howmedica Osteonics Corp.*, 2024 U.S. App. LEXIS 8201 * (2d Cir. 2024) (unpublished), Plaintiff was alerted to news articles and other information

¹ The orders entered by this Court are published at *Rouviere v. DePuy Orthopaedics, Inc.*, 560 F. Supp. 3d 774, 781 (S.D. N.Y. 2021) and *Rouviere v. Howmedica Osteonics Corp.*, 645 F. Supp. 3d 157, 2022 U.S. Dist. LEXIS 218913 (S.D.N.Y. Dec. 5, 2022)

revealing for a first time that Judge Stewart Aaron and Judge Lewis J. Liman had financial interests in and/or received money directly or indirectly from Defendant Johnson & Johnson, a publicly traded company that owned/owns Defendant DePuy during the pretrial proceedings and issuing non-final and final orders denying relief to Plaintiff.

Further, Plaintiff was informed thereafter that the Second Circuit held Judge Liman should not have presided over the federal civil action where Judge Liman's wife owned stock in Bank of America:

"Here, due to the length of time that Judge Liman presided over this case with a conflict—albeit almost certainly unknowingly—and the substantive motions that came before him in that period, we find that his wife's July 2021 divestiture of Bank of America stock was not sufficiently curative. Accordingly, recusal under § 455(a) was required, and we therefore vacate the decision of the district court granting Defendants' motion to dismiss.

Litovich v. Bank of Am. Corp., 106 F.4th 218, 228 (2d Cir. 2024).

To be sure, as detailed in the Rule 60(b)(6) motion now pending before the Court, since 2019, Judge Aaron has been receiving substantial partnership payments amounting to \$168,723 annually from Arnold & Porter, a law firm representing Johnson & Johnson who owned/owns DePuy. *See Exhibits 1*. These payments, commencing after Judge Aaron's assignment to this case, established and present a blatant conflict of interest and disqualification. Similarly, Judge Liman's financial disclosure for 2021-2022 reveals investments in the ownership of J&J, including stock transactions while ruling on DePuy summary judgment against the Plaintiff, resulting in dividends between \$15,001 and \$50,000. *Exhibit 2*. Such financial entanglements with Johnson & Johnson who owned DePuy while presiding over the case should have caused

him to disqualify himself from presiding over any matter in the instant case. But that didn't happen. The rhetorical question is "*Why didn't Judge Aaron disqualify himself from the instant case?*"

Judge Liman owned stock in Johnson & Johnson prior to the commencement of the instant case; and Judge Liman sold his stock in Johnson & Johnson immediately after he entered the final order in favor of DePuy and Howmedica and against Plaintiff. These facts alone certainly give more than an appearance of bias and partiality on part of Judge Liman – disqualification of Judge Liman was mandatory as a matter of clearly established law. The fact Judge Liman had a financial interest in the outcome of this case was a sufficient basis for him to disqualify himself in the instant case.

Judge Liman's financial disclosure for 2021-2022 revealed investments in the ownership of Johnson & Johnson, including stock transactions while ruling on DePuy and Howmedica's motion for summary judgment and Plaintiff's objections to Judge Aaron's rulings on discovery matters. Judge Liman realized cash dividends between \$15,001 and \$50,000. *See, Exhibit 2 hereto*. The rhetorical question here is *why* Judge Liman decided not to inform the Clerk of his stock ownership in one of the Defendants named in the instant case where Judge Liman did so in *Tiffany and Company v. Costco Whole Corporation*, No. 1:13-cv-01041-LJL-DCF (S.D.N.Y.) where his wife owned stock in Costco.. *See Exhibit 3 hereto*.

The answers to the rhetorical questions presented above can be had by discovery and more importantly conducting an evidentiary hearing where a record can be developed by: (1) live testimony of Arnold & Porter explaining the monies sent to Judge Aaron were relating to income

derived from the firm's client Johnson & Johnson; (2) the brokerage firm or third-party conducting transactions on behalf of and/or sending money to Judge Liman and Judge Aaron related directly or indirectly to Johnson & Johnson; (3) Judge Aaron's testimony as to how the income he received from Arnold & Porter affected his decisions in the instant case; (4) Judge Aaron's testimony why he didn't disqualify himself from the instant case upon his assignment to the instant case; and (4) Judge Liman's testimony explaining why he didn't disclose his ownership of Johnson & Johnson stock to Plaintiff and why he didn't disqualify himself from presiding over the case for owning said stock. Developing a record on the material facts in controversy will provide a clear and definitive picture of the financial interest Judge Aaron and Judge Liman had in Johnson & Johnson and/or DePuy prior to and during the time of the pretrial proceedings in the instant case.

Remarkably, where Judge Aaron had the broad discretion to grant or deny Plaintiff's relief on important matters that raised and supported the requisite liability of DePuy and Howmedica, Judge Aaron chose to deny Plaintiff's request for relief - the denials which are detailed in Plaintiff's Rule 60(b)(6) motion. Of course, Judge Aaron knew that his decisions would not be disturbed absent clear error or an abuse of discretion.

Judge Liman's decisions affirming each of Plaintiff's objections to Judge Aaron's unfavorable orders was tainted with the inherent conflict of interest and violations of Title 28 U.S.C. § 455(a) given his ownership of Defendant Johnson & Johnson stock – the very entity which owned Defendant DePuy.

Plaintiff submits that she has identified specific facts in controversy detailed in her Rule 60(b)(6) motion as well as some here to be entitled to an evidentiary hearing on the material facts in controversy and issues presented in the Rule 60(b)(6) motion. Certainly Arnold & Porter has all the records and testimony needed to prove Judge Aaron's financial interest in protecting his income from said law firm and Arnold & Porter's client Johnson & Johnson.

Further, the brokerage or investment firm that held or purchased and sold the Johnson & Johnson stock on behalf of Judge Liman has all the records and documents related to the purchases and sale of Johnson & Johnson stock on behalf of Judge Liman. To the extent Judge Liman personally purchased said stock or directed a person or entity to purchase said stock on behalf of Judge Liman, Plaintiff will be able to have Judge Liman and/or the third parties acting on his behalf to testify and produce the necessary documents and records to prove the timing of the ownership of the Johnson & Johnson stock by Judge Liman.

As shown below the clearly established law in the Second Circuit set forth the criteria for a litigant seeking relief under Rule 60(b)(6) to be entitled to an evidentiary hearing on the factual matters in controversy. Plaintiff now demands an evidentiary hearing forthwith to prove her claims for relief presented in her Rule 60(b)(6) motion.²

² Imagine how the Second Circuit would decide on the facts presented in the instant case where the trial judge purchased and sold stock of one of the named Defendants, namely Johnson & Johnson who owned another Defendant DePuy, where the Second Circuit recently held the same jurist had to be disqualified and his orders vacated where the trial judge's wife owned stock in one of the parties and sold the stock months before granting a motion to dismiss. The decision in *Litovich v. Bank of Am. Corp.*, 106 F.4th 218, 228 (2d Cir. 2024) dictates the ultimate result in the instant case which upon conclusion of an evidentiary hearing vacatur of the final judgments in favor of DePuy and Howmedica and against Plaintiffs.

II. ARGUMENT AND LAW

Plaintiff requests this Court to set the Rule 60(b)(6) motion for an evidentiary hearing on the factual matters in controversy presented in the Rule 60(b)(6). Further, Plaintiff submits there is good cause to grant the instant motion given she has met the criteria set forth by the Second Circuit in Rule 60(b)(6) proceedings. *See, Flaks v. Koegel*, 504 F.2d 702, 712 (2d Cir. 1974); *cf. Puglisi v. United States*, 586 F.3d 209, 213 (2d Cir. 2009).

1. Rule 60(b)(6) is Proper Vehicle to Obtain Post-Judgment Relief for violation of section 455(a)

As an initial matter, the Supreme Court has affirmed the use of a Rule 60(b)(6) motion to obtain post-judgment relief where the issue is one of violation of section 455(a). *See, Liljeberg v. Health Servs. Acquisition Corp.*, 486 U.S. 847, 863 (1988).

2. Evidentiary Hearings in Rule 60(b)(6) Proceedings.

The Second Circuit has set the criteria for a party to be entitled to an evidentiary hearing in a Rule 60(b)(6) proceeding. *See, Saada v. Golan*, 2021 U.S. App. LEXIS 31090 (2d Cir. 2021). Relying on circuit precedent, the Second Circuit held:

“In the Rule 60(b) context, a party is not automatically entitled to an evidentiary hearing. *See Gomez v. City of New York*, 805 F.3d 419, 424 (2d Cir. 2015); *Cablevision Sys. New York City Corp. v. Okolo*, 197 F. App'x 61, 62 (2d Cir. 2006) (summary order); *United States v. Premises & Real Prop. With Buildings, Appurtenances & Improvements at 219 Ingersol St.*, 198 F.3d 235 (table), [published in full-text format at 1999 U.S. App. LEXIS 23704], 1999 WL 822492, at *2 (2d Cir. 1999) (unpublished opinion). As a general matter, in the Rule 60(b) context, evidentiary hearings should be held to decide disputes concerning "material issues of fact." *Flaks v. Koegel*, 504 F.2d 702, 712 (2d Cir. 1974); *cf. Puglisi v. United States*, 586 F.3d 209, 213 (2d Cir. 2009) (noting that "[i]f material facts are in dispute" concerning an ineffective assistance of counsel claim, a court should usually hold an evidentiary hearing). We review a district court's refusal to grant a hearing

for abuse of discretion, *219 Ingersol St.*, 1999 U.S. App. LEXIS 23704, 1999 WL 822492, at *2 (citing *United States v. 8136 S. Dobson St., Chicago, Ill.*, 125 F.3d 1076, 1086 (7th Cir. 1997)); see *In re Sims*, 534 F.3d 117, 132 (2d Cir. 2008) (describing the abuse-of-discretion standard), and find no such abuse here.”

Saada, 2021 U.S. App. LEXIS 31090 *8.

Unlike in *Saada* where the defendant claimed a “phone call” was sufficient to constitute a dispute of material facts, here Plaintiff has presented an affidavit and reliable evidence to demonstrate that Judge Liman and Judge Aaron had a financial interest in the outcome of Plaintiff’s case against DePuy which was owned by Defendant Johnson & Johnson. The factual allegations presented in Plaintiff’s verified Rule 60(b)(6) motion establish more than a clear and convincing evidence that Judge Liman and Judge Aaron had a financial interest in the outcome of the instant case or at a minimum a conflict of interest and a violation of Title 28 U.S.C. § 455(a).

Having established that Plaintiff presented specific material facts in controversy which can only be resolved by way of an evidentiary hearing, Plaintiff submits this Court must set the case for an evidentiary hearing in order that the record can be completely developed in order for this Court to reach a just and proper decision on Plaintiff’s Rule 60(b)(6) motion and relief requested therein.³

³ See, *Vindigni v. Meyer*, 441 F.2d 376, 377 (2d Cir. 1971) (reversed the district court’s dismissal for failure to prosecute and remanded for an evidentiary hearing when plaintiff submitted an affidavit stating that he tried diligently to locate his counsel, even though the district court concluded that he had let more than a year go by without inquiring as to the status of his suit.).

III. CONCLUSION

WHEREFORE, the Plaintiff requests this Court to grant the instant motion for an evidentiary hearing on Plaintiff's Rule 60(b)(6) motion based on the forgoing verified facts and law; and enter an order granting same and setting the case for an evidentiary hearing forthwith. Plaintiff requests other relief this Court deems proper and just under the circumstances.

November 2, 2024
Miami, Florida

Respectfully submitted,


Jodi Rouviere
10950 Southwest 84th Court
Miami, FL 33156-3526
(305)608-8076
jodi.jtm@gmail.com
Appearing pro se

VERIFICATION

UNDER PENALTIES OF PERJURY UNDER THE LAWS OF THE UNITED STATES OF AMERICA PURSUANT TO 28 U.S.C. § 1746 and Fla. Stat. § 92.525, I, JODI ROUVIERE, DECLARE THAT I HAVE READ THE FOREGOING MOTION TO VACATE AND EXHIBITS THERETO AFFIRM THAT THE FACTS STATED HEREIN ARE TRUE AND CORRECT, done on this 2nd day of November 2024.


JODI ROUVIERE

CERTIFICATE OF SERVICE

I hereby certify that on November 2, 2024, the foregoing documents was filed with the Clerk of the Court and served in accordance with the Federal Rules of Civil Procedure, and/or the Southern District's Local Rules, and/or the Southern District's Rules on Electronic Service upon the following parties and participants by placing same in the U.S. mail postage prepaid 1st class on this 2nd day of November 2024:

Paul E. Asfendis, Esq.
GIBBONS, P.C.
One Pennsylvania Plaza
New York, NY 10119

Joseph G. Eaton, Esq.
J.T. Larson
Barnes & Thornburg, LLP
11 South Meridian Street
Indianápolis, Indiana 46204


Jodi Rouviere

AO 10
Rev. 1/2022**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2021***Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)*

1. Person Reporting (last name, first, middle initial) Liman, Lewis J.	2. Court or Organization U. S. District Court, Southern District of New York	3. Date of Report 05/13/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active Status	5a. Report Type (check appropriate type) <input type="checkbox"/> Nomination <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input type="checkbox"/> Amended Report	6. Reporting Period 01/01/2021 to 12/31/2021
7. Chambers or Office Address United States Courthouse 500 Pearl Street New York, NY 10007		
IMPORTANT NOTES: <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</i>		

I. POSITIONS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*☐ NONE *(No reportable positions.)*POSITIONNAME OF ORGANIZATION/ENTITY

1. Trustee	Liman Foundation
2.	
3.	
4.	
5.	

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*☐ NONE *(No reportable agreements.)*DATEPARTIES AND TERMS

1. 2003-2019	Cleary Gottlieb Steen & Hamilton LLP - retirement plan with former law firm; firm-managed asset selection
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Bar Council	October 22-24, 2021	Saratoga Springs, NY	Bench Bar Retreat & Education	Fall Retreat, hotel
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period			
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)
1. Retirement Account 1 Fidelity Investments (H)								
2. - Fidelity Investments, Investment Contracts Fund								
3. - Vanguard Target 2025								
4. Investment Account 1 Charles Schwab managed by KF Advisors (H)								
5. - Ishares Russell 2000 IWM	C	Dividend	N	T				
6. - JH Intl Growth Fund GOGIX	G	Dividend	O	T				
7. - Edgewood Growth Fund EGFIX		None			Sold	05/24/21	O	G
8. - Touchstone Sands Emerging Markets Growth TSEGX	D	Dividend	N	T	Sold (part)	05/24/21	N	G
9. - Aristotle Value Equity Fund ARSQX	E	Dividend	O	T	Sold (part)	05/24/21	O	G
10. - Ishares Core S&P 500 Index ETF IVV		None			Sold	01/05/21	O	F
11. - GQG Partners Global Quality Eqty Inst GQRX		None			Sold	05/24/21	P1	F
12. - Grandeur Peak Intl GISYX	F	Dividend	O	T				
13. - PIMCO Short Term PTSHX	D	Dividend	O	T	Sold (part)	01/05/21	M	
14.					Sold (part)	04/06/21	N	
15.					Sold	05/24/21	P1	D
16.					Buy	08/16/21	P1	
17. - River Canyon Total Return Bond Inst RCTIX	E	Dividend	O	T				

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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18. - Vanguard Short Term Bond Fund VFSUX	E	Dividend	P1	T	Sold (part)	01/05/21	M	D
19.					Sold (part)	04/06/21	N	C
20.					Sold (part)	05/24/21	O	E
21.					Buy (add'l)	08/16/21	O	
22. - Schwab Government Money Fund SNVXX	A	Dividend			Sold	01/05/21	P1	
23. - Schwab cash accounts	A	Interest	P1	T				
24. - Atara Biotherapeutic ATRA (X)		None			Sold	01/25/21	K	D
25. - Wework Inc WE (X)		None			Sold (part)	11/03/21	L	E
26.					Sold	12/17/21	K	C
27. Investment Account 2 Schwab Charitable managed by KF Advisors (H)								
28. - Schwab Donor Advised - Janus Balanced Pool JABAX		None	K	T	Sold (part)	03/18/21	J	A
29.					Sold (part)	12/20/21	J	C
30. - Schwab Donor Advised - Manning & Napier Conservative Pool EXDAX		None	K	T	Sold (part)	03/18/21	J	A
31.					Sold (part)	12/20/21	J	C
32. Armistice LP	D	Dividend	O	U				
33. DAG Ventures V-QP, L.P.	A	Dividend	L	U				
34. Hawk Ridge Partners II LP	E	Dividend	P1	U				

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)
35. Sculptor (OZ) Domestic Partners II LP	A	Dividend	L	U				
36. PIMCO BRAVO Fund III Onshore Feeder, L.P.	D	Dividend	N	U				
37. RCP Apex II Syndication Partners LP	A	Dividend	M	U				
38. Riverstone Credit Partners, L.P.	A	Dividend	J	U				
39. Solaris Ara Fund LP	E	Dividend	P1	U				
40. Summit Strategies COI Fund I, L.P.	C	Dividend	N	U				
41. CGSH Partners Investments, LLC	D	Dividend	N	U				
42. Retirement Account 2 Cash Balance Plan (H)								
43. - Fidelity Government Cash Reserves FDRXX		None	K	T				
44. - PIMCO Total Return Instl PTTRX		None	L	T				
45. - Vanguard International Value Port Inv Cl VTRIX		None	J	T				
46. - Vanguard International Growth Admiral VWILX		None	J	T				
47. - Vanguard Hi Yield Corporate Admiral VWEAX		None	K	T				
48. - Fidelity Extended Market Index FSMAX		None	J	T				
49. - Fidelity 500 Index FXAIX		None	J	T				
50. - Fidelity Growth Company FDGRX		None	K	T				
51. - Fidelity Total Intl Index FTIHX		None	J	T				

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

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05/13/2022

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

☐ NONE (No reportable income, assets, or transactions.)

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52. - DFA Global Real Estate DFGEX		None	J	T				
53. - JPMorgan Small Cap Growth JGSVX		None	J	T				
54. - Vanguard Equity Income Admiral VEIRX		None	K	T				
55. - Victory Sycamore Sm Co VSOIX		None	J	T				
56. - Fidelity U.S. Bond Index FXNAX		None	L	T				
57. - Fidelity Inflat-Prot Bd FIPDX		None	K	T				
58. - Fidelity Int'l Bond Index FBIIX		None	K	T				
59. - Fidelity Short Term Bond Index FNSOX		None	L	T				
60. JPMorgan Chase cash accounts		None	N	T				
61. Investment Account 3 Charles Schwab managed by KF Advisors (H)								
62. - Ark Innovation ETF ARKK	A	Dividend	L	T				
63. - Blackrock Strategy Income BSIIX	B	Dividend	L	T				
64. - PIMCO Flexible Credit PFLEX	D	Dividend	L	T				
65. - Artisan International Value Fund APDKX	D	Dividend	L	T				
66. - Edgewood Growth Institutional EGFIX	C	Dividend	L	T				
67. - J Hancock Disciplined Value Cl 1 JVLIX	D	Dividend	L	T				
68. - Touchstone Sands Capital TSEGX	B	Dividend	L	T				

1 Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

2 Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

3 Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

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69. - Vanguard 500 Index Fund VFIAX	B	Dividend	M	T				
70. - Vulcan Value Partners VVISX	D	Dividend	L	T				
71. - J Hancock Intl Growth Fund GOGIX	D	Dividend	L	T				
72. - Vanguard Short Term Bond Fund VFSUX	B	Dividend	L	T				
73. - Charles Schwab cash account		None	J	T				
74. Investment Account 4 Charles Schwab managed by KF Advisors (H)								
75. - Ark Innovation ETF ARKK	A	Dividend	L	T				
76. - Blackrock Strat Incm BSIIX	B	Dividend	L	T				
77. - PIMCO Flexible Credit PFLEX	D	Dividend	L	T				
78. - Artisan Intl Value Fund APDKX	D	Dividend	L	T				
79. - Edgewood Growth Instl BGFIX	C	Dividend	L	T				
80. - J Hancock Disciplined JVLIX	D	Dividend	L	T				
81. - Touchstone Sands Capital TSEGX	B	Dividend	L	T				
82. - Vanguard 500 Index Fd VFIAX	B	Dividend	M	T				
83. - Vulcan Value Partners VVISX	D	Dividend	L	T				
84. - J Hancock Intl Growth Fund GOGIX	D	Dividend	L	T				
85. - Vanguard Short Term Bond Fund VFSUX	B	Dividend	L	T				

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(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

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O = \$500,001 - \$1,000,000

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V = Other

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H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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86. - Charles Schwab cash account		None	J	T				
87. Investment Account 5 Neuberger Berman (H)								
88. - Dreyfus Treasury Sec Cash Mgmt Admin DARXX	A	Interest						
89. - Air Products & Chem APD	A	Dividend						
90. - Alphabet Inc Cap Stk Cl A GOOGL		None						
91. - Amazon.com Inc AMZN		None						
92. - Ansys Inc ANSS		None			Sold (part)	03/05/21	J	B
93.					Sold (part)	03/08/21	J	D
94.					Sold (part)	03/11/21	J	D
95.					Sold	03/12/21	J	D
96. - Apple Inc AAPL	A	Dividend						
97. - Coca Cola Co KO	A	Dividend						
98. - Comcast Corp New Cl A CMCSA	A	Dividend						
99. - Eaton Corp OLC Com ETN	A	Dividend						
100. - Facebook Inc FB		None			Sold (part)	02/24/21	J	C
101. - Home Depot Inc Com HD	A	Dividend						
102. - IHS Markit Ltd Com INFO	A	Dividend						

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(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

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(See Column C2)

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P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

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103. - Johnson & Johnson JNJ	A	Dividend							
104. - Microsoft Corp MSFT	A	Dividend							
105. - Pfizer Inc PFE	A	Dividend			Sold	02/18/21	J	B	
106. - Regeneron Pharmaceuticals REGN		None							
107. - Union Pacific Corp. UNP	A	Dividend							
108. - Universal Display Corp OLED	A	Dividend							
109. - Visa Inc Com Cl A V	A	Dividend							
110. - Zoetis Inc Com UDS0.01 Cl A ZTS	A	Dividend			Sold (part)	03/08/21	J	D	
111. - Adaptive Biotechnologies Corp ADPT		None							
112. - Cintas Corp CTAS	A	Dividend							
113. - COSTCO Wholesale COST	A	Dividend							
114. - Draftkings DKNG		None							
115. - Nike Inc NKE	A	Dividend							
116. - Qualcomm QCOM	A	Dividend							
117. - T-Mobile TMUS		None							
118. - Tesla TSLA		None							
119. - Vertex Pharmaceuticals VRTX		None			Sold	04/30/21	J		

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(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

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S = Assessment

W = Estimated

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120. - YETI Hldgs YETI		None			Sold (part)	03/11/21	J	D
121. - Hologic Inc common stock HOLX		None			Buy	01/12/21	J	
122.					Buy (add'l)	01/13/21	J	
123.					Buy (add'l)	01/14/21	J	
124. - Viatris Inc common stock VTRS		None			Sold	02/01/21	J	A
125. - Keurig Dr Pepper Inc common stock KDP	A	Dividend			Buy	03/19/21	K	
126. - Starbucks Corp common stock SBUX	A	Dividend			Buy	03/23/21	J	
127.					Buy (add'l)	03/24/21	J	
128.					Buy (add'l)	04/12/21	J	
129. - BHP Group PLC BBL		None			Buy	04/23/21	K	
130. - Peloton Interactive Inc CL A common stock PTON		None			Buy	04/19/21	J	
131.					Buy (add'l)	05/13/21	J	
132.					Buy (add'l)	05/14/21	J	
133. Retirement Account 3 TIAA (H)								
134. - TIAA Traditional		None	L	T				
135. - CREF Stock R2		None	M	T				
136. - TIAA Real Estate		None	K	T				

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(See Columns C1 and D3)

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H2 = More than \$5,000,000

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P2 = \$5,000,001 - \$25,000,000

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137. - CREF Inf-Linked Bond R2		None	J	T				
138. Retirement Account 4 Charles Schwab IRA (H)								
139. - Alphabet Inc GOOGL		None			Sold	01/13/21	J	C
140. - Bank of America Corp. common stock BAC		None						
141. - Ishares MSCI ACWI ETF ACWI		None						
142. - SPDR Dow Jones Industrial Avrg ETF DIA	A	Dividend						
143. - Charles Schwab cash account		None						
144. - Ishares MSCI Emerging Markets ETF EEM		None			Buy	01/13/21	K	
145. - VanEck Vectors Junior Gold Miners ETF GDXJ		None			Buy	01/13/21	J	
146. Investment Account 6 Morgan Stanley (H)								
147. - Legg Mason SCH Bal 50/50 0 SCBYX		None			Sold	07/20/21	M	
148. - Nuveen Co Bal Alloc PTF I CCFEX		None	L	T	Buy	07/20/21	M	
149.					Sold (part)	12/13/21	L	F
150. Investment Account 7 Morgan Stanley (H)								
151. - Legg Mason SCH Bal 50/50 0 SCBYX		None			Sold	07/20/21	M	E
152. - Nuveen Co Bal Alloc PTF I CCFEX		None	N	T	Buy	07/20/21	M	
153. Retirement Account 5 John Hancock managed by Wilmer Hale (H)								

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

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154. - Vanguard Target Ret 2025 Inst		None						
155. Retirement Account 6 Richemont North America (H)								
156. - Prudential Principal Preservation Fund		None			Sold	10/19/21	J	
157. Investment Account 8 Charles Schwab managed by KF Advisors (H)								
158. - PIMCO Inflation Response Multi Asset Fund PIRMX	F	Dividend	O	T	Buy (add'l)	10/18/21	N	
159. - Schwab Government Money Fund SNVXX	A	Dividend			Sold	03/10/21	N	
160. - Charles Schwab cash account	A	Interest	K	T				
161. - PIMCO Short Term PTSHX	A	Dividend	N	T	Buy	10/18/21	N	
162. - River Canyon Total Return Bond Inst RCTIX	C	Dividend	N	T	Buy	10/18/21	N	
163. - Vanguard Short Term Bond Fund VFSUX	C	Dividend	N	T	Buy	10/18/21	N	
164. Fortress TSX Broadway LP		None	N	U				
165. Davidson Kempner Distressed Opportunities, LP	F	Dividend	P1	U				
166. Hudson Bay Fund LP	E	Dividend	P1	U	Buy	01/01/21	P1	
167. Oak Hill Capital Partners V (Onshore Feeder), L.P.	A	Dividend	K	U				
168. Rental Property, Rye, NY	E	Rent			Sold	09/01/21	P1	H1
169. Retirement Account 7 Merrill (Bank of America Co) (H)								
170. - Merrill cash account		None						

1 Income Gain Codes:
(See Columns B1 and D4)

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(See Columns C1 and D3)

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171. Corner Ventures DAG Fund I-C LP	A	Interest	M	U	Buy	01/01/21	M	
172. Fifth Wall Ventures III LP		None	M	U	Buy	01/01/21	M	
173. Riverstone Credit Partners - Direct LP (X)	A	Dividend	M	U				
174. Investment Account 9 Charles Schwab Managed by KF Advisors (H)								
175. - Adaptive Biotechnologies Corp common stock ADPT		None			Buy	02/26/21	K	
176.					Buy (add'l)	03/09/21	J	
177.					Buy (add'l)	05/24/21	J	
178.					Sold	09/29/21	K	
179. - Alphabet Inc common stock GOOGL		None			Buy	02/03/21	K	
180.					Sold	10/27/21	K	D
181. - Amazon.com Inc common stock AMZN		None			Buy	01/21/21	K	
182.					Buy (add'l)	03/11/21	J	
183.					Sold	10/27/21	K	B
184. - Apple Inc common stock AAPL	A	Dividend			Buy	01/21/21	K	
185.					Buy (add'l)	03/09/21	J	
186.					Sold	10/27/21	K	D
187. - BHP Group PLC common stock BBL	B	Dividend			Buy	04/06/21	K	

1 Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
I = More than \$5,000,000

E = \$15,001 - \$50,000

2 Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$5,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3 Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
W = Estimated

T = Cash Market

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period			
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)
188.					Sold	11/15/21	K	
189. - Bumble Inc common stock BMBL		None			Buy	02/22/21	K	
190.					Buy (add'l)	03/08/21	J	
191.					Buy (add'l)	05/26/21	J	
192.					Sold	10/27/21	K	
193. - Cintas Corp common stock CTAS	A	Dividend	K	T	Buy	01/21/21	K	
194. - Comcast Corp common stock CMCSA	A	Dividend			Buy	02/03/21	K	
195.					Buy (add'l)	05/18/21	J	
196.					Sold	11/09/21	K	B
197. - Costco Wholesale Co common stock COST	A	Dividend	K	T	Buy	01/21/21	K	
198. - Danaher Corp common stock DHR	A	Dividend	K	T	Buy	06/22/21	K	
199. - Defiance Nex Gen EFT FIVG	A	Dividend	L	T	Buy	11/09/21	K	
200. - Draftkings Inc common stock DKNG		None			Buy	01/21/21	K	
201.					Buy (add'l)	05/27/21	J	
202.					Sold	10/27/21	K	
203. - Eaton Corp PLC common stock ETN	A	Dividend	K	T	Buy	02/03/21	K	
204. - ETFMG Prime Cyber ETF HACK	A	Dividend	K	T	Buy	11/09/21	L	

1 Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000

E = \$15,001 - \$50,000

2 Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$5,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3 Value Method Codes
(See Column C2)

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☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period			
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)
205. - Fluor Corp common stock FLR		None			Buy	03/12/21	K	
206.					Sold	05/21/21	K	
207. - Frequency Therapeutics I common stock FREQ		None			Buy	01/21/21	K	
208.					Sold	03/25/21	J	
209. - Ginkgo Bioworks H 26 WTF common stock DNAWS		None			Spinoff (from line 263)	09/17/21	K	
210.					Sold	10/11/21	J	
211. - Ginkgo Bioworks Holdings common stock DNA		None			Spinoff (from line 261)	09/17/21	J	
212.					Sold	10/06/21	K	D
213. - Hologic Inc common stock HOLX		None			Buy	02/02/21	K	
214.					Sold	06/01/21	K	
215. - Home Depot Inc common stock HD	A	Dividend	K	T	Buy	01/21/21	K	
216.					Buy (add'l)	05/18/21	J	
217. - Innovator IBD 50 ETF FFTY	A	Dividend	L	T	Buy	11/09/21	L	
218.					Buy (add'l)	12/28/21	J	
219. - Intellia Therapeutics Inc common stock NTLA		None	K	T	Buy	05/28/21	K	
220. - Invesco QQQ Trust ETF QQQ	A	Dividend	L	T	Buy	10/28/21	L	
221.					Buy (add'l)	10/29/21	K	

1 Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000

E = \$15,001 - \$50,000

2 Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3 Value Method Codes
(See Column C2)

Q = Appraisal
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☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period			
	(1) Amount Code I (A-H)	(2) Type (e.g., div, rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)
222. - Ishares Core S&P ETF IJR		None	K	T	Buy	12/23/21	K	
223. - Ishares Expanded TCH STX ETF IVG		None	K	T	Buy	11/09/21	K	
224. - Ishares Russell 2000 ETF IWM	A	Dividend	L	T	Buy	11/04/21	L	
225. - Johnson & Johnson common stock JNJ	A	Dividend			Buy	03/11/21	K	
226.					Sold	12/01/21	K	
227. - Keurig Dr Pepper Inc common stock KDP	A	Dividend			Buy	03/17/21	K	
228.					Sold	11/09/21	K	B
229. - Microsoft Corp common stock MSFT	A	Dividend			Buy	01/22/21	K	
230.					Buy (add'l)	01/28/21	J	
231.					Sold	10/27/21	K	D
232. - Moderna Inc common stock MRNA		None			Buy	05/24/21	K	
233.					Buy (add'l)	07/01/21	J	
234.					Sold	11/05/21	K	D
235. - Nextera Energy Inc common stock NEE	A	Dividend			Buy	02/08/21	K	
236.					Buy (add'l)	03/09/21	J	
237.					Sold	11/23/21	K	C
238. - Nike Inc common stock NKE	A	Dividend	K	T	Buy	01/21/21	K	

1 Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000

E = \$15,001 - \$50,000

2 Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

3 Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

S = Assessment
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☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period			
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)
239.					Buy (add'l)	03/08/21	J	
240.					Buy (add'l)	03/25/21	J	
241. - Nvidia Corp common stock NVDA	A	Dividend			Buy	02/24/21	K	
242.					Sold	10/27/21	K	D
243. - Paypal Holdings Inc common stock PYPL		None			Buy	06/23/21	K	
244.					Buy (add'l)	07/29/21	J	
245.					Sold	10/27/21	K	
246. - Peloton Interactive Inc common stock PTON		None			Buy	04/15/21	J	
247.					Buy (add'l)	05/11/21	J	
248.					Buy (add'l)	05/12/21	J	
249.					Sold	08/26/21	K	C
250. - Qualcomm Inc common stock QCOM	A	Dividend			Buy	01/21/21	K	
251.					Buy (add'l)	01/28/21	J	
252.					Buy (add'l)	02/04/21	J	
253.					Buy (add'l)	03/09/21	J	
254.					Buy (add'l)	05/24/21	J	
255.					Sold	10/27/21	K	

1 Income Gain Codes:
(See Columns B1 and D4)
2 Value Codes
(See Columns C1 and D3)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period			
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)
	Amount Code I (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)
256. - Regeneron Pharms Inc common stock REGN		None	K	T	Buy	01/21/21	K	
257.					Buy (add'l)	02/09/21	J	
258. - Select Sector Health ETF XLV	A	Dividend	L	T	Buy	11/09/21	L	
259. - Sentinelone Inc Class A common stock S		None			Buy	09/01/21	K	
260.					Sold	10/27/21	K	
261. - Soaring Eagle Acquis common stock NRNG (merged with line 211)		None			Buy	08/12/21	J	
262.					Merged (with line 1)	09/17/21	J	
263. - Soaring Eagle ACQ 26 UTF common stock SRNGU (merged with line 209)		None			Buy	03/03/21	K	
264.					Merged (with line 1)	09/17/21	K	
265. - Starbucks Corp common stock SBUX	A	Dividend	K	T	Buy	03/19/21	J	
266.					Buy (add'l)	03/22/21	J	
267.					Buy (add'l)	04/08/21	J	
268. - T-Mobile US Inc common stock TMUS		None			Buy	01/21/21	K	
269.					Sold	10/27/21	K	
270. - Union Pacific Corp common stock UNP	A	Dividend	K	T	Buy	01/21/21	K	
271. - Vanguard Financials ETF VFH	A	Dividend	L	T	Buy	10/28/21	L	
272. - Vanguard S&P 500 ETF VOO	A	Dividend	L	T	Buy	11/04/21	L	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

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273. - Visa Inc common stock V	A	Dividend			Buy	02/03/21	K	
274.					Sold	10/27/21	K	B
275. - Zoetis Inc common stock ZTS	A	Dividend	K	T	Buy	05/21/21	K	
276. - Charles Schwab cash account (X)	A	Interest	L	T				
277. Citizens Wealth cash accounts (X)	A	Interest	O	T				
278. Investment Account 10 TIAA (H)								
279. - TIAA cash account	A	Interest	K	T				
280. - Adaptive Biotechnologies Corp common stock ADPT (X)		None			Sold	07/22/21	K	A
281. - Air Products and Chemicals Inc common stock APD (X)	A	Dividend	K	T				
282. - Alphabet Inc common stock GOOGL (X)		None	L	T				
283. - Amazon.com Inc common stock AMZN (X)		None	L	T				
284. - Apple Inc common stock AAPL (X)	A	Dividend	L	T				
285. - BHP Group PLC common stock BBL (X)		None			Sold	07/22/21	K	A
286. - Cintas Corp common stock CTAS (X)		None			Sold	07/22/21	K	B
287. - Coca-Cola common stock KO (X)		None			Sold (part)	07/22/21	J	B
288.					Sold	09/15/21	J	B
289. - Comcast Corp common stock CMCSA (X)	A	Dividend	J	T	Sold (part)	07/22/21	K	D

1 Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

2 Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

3 Value Method Codes
(See Column C2)

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U = Book Value

B = \$1,001 - \$2,500
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K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
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H1 = \$1,000,001 - \$5,000,000
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P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

S = Assessment
W = Estimated

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H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

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☐ NONE (No reportable income, assets, or transactions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)
290. - Costco Wholesale Corp common stock COST (X)	A	Dividend	K	T				
291. - DraftKings Inc common stock DKNG (X)		None			Sold (part)	09/15/21	J	C
292.					Sold	11/04/21	K	B
293. - Eaton Corp PLC common stock ETN (X)	A	Dividend	K	T	Sold (part)	07/22/21	J	C
294. - Hologic Inc common stock HOLX (X)		None			Sold	07/22/21	K	
295. - Home Depot Inc common stock HD (X)	A	Dividend	L	T				
296. - Ishares Russell 2000 Growth ETF IWO	A	Dividend	K	T	Buy	07/22/21	J	
297.					Buy (add'l)	09/15/21	J	
298. - Ishares Russell 2000 Value ETF IWN	A	Dividend	J	T	Buy	07/22/21	J	
299.					Buy (add'l)	09/15/21	J	
300. - Ishares Russell Mid-Cap Growth ETF IWP	A	Dividend	K	T	Buy	07/22/21	K	
301.					Buy (add'l)	09/15/21	K	
302. - Ishares Russell Mid-Cap Value ETF IWS	A	Dividend	L	T	Buy	07/22/21	J	
303.					Buy (add'l)	08/26/21	K	
304.					Buy (add'l)	11/04/21	J	
305. - Johnson & Johnson common stock JNJ (X)	A	Dividend	K	T				
306. - Keurig Dr Pepper Inc common stock KDP (X)		None			Sold	07/22/21	K	B

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A = \$1,000 or less

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B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Name of Person Reporting

Liman, Lewis J.

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05/13/2022

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period			
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)
307. - Meta Platforms Inc common stock FB (X)		None	K	T				
308. - Microsoft Corp common stock MSFT (X)	A	Dividend	L	T				
309. - Nike Inc common stock NKE (X)	A	Dividend	K	T				
310. - Peloton Interactive Inc common stock PTON (X)		None			Sold	08/26/21	K	C
311. - Qualcomm Inc common stock QCOM (X)	A	Dividend	K	T				
312. - Regeneron Pharmaceuticals Inc common stock REGN (X)		None	K	T	Sold (part)	07/22/21	K	C
313. - Starbucks Corp common stock SBUX (X)	A	Dividend	K	T				
314. - Tesla Inc common stock TSLA (X)		None			Sold	07/22/21	J	B
315. - T-Mobile US Inc common stock TMUS (X)		None	K	T				
316. - Union Pacific Corp common stock UNP (X)	A	Dividend	K	T	Sold (part)	04/22/21	K	C
317. - Universal Display Corp common stock OLED (X)		None			Sold	09/15/21	J	D
318. - Visa Inc common stock V (X)	A	Dividend	K	T				
319. - YETI Holdings Inc common stock YETI (X)		None	K	T	Sold (part)	09/15/21	J	D
320. - Zoetis Inc common stock ZTS (X)	A	Dividend	K	T				
321. - Harding Loevner Inst Emerging Markets HLMEX	A	Dividend	J	T	Buy	08/10/21	J	
322. - Harding Loevner Intl Equity HLMIX	A	Dividend	K	T	Buy	08/10/21	J	
323.					Buy (add'l)	09/15/21	J	

1 Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

2 Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

3 Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	
324. - IHS Markit Ltd common stock INFO (X)	A	Dividend	K	T					
325. - Ishares Core MSCI EAFE ETF IEFA	A	Dividend	J	T	Buy	08/09/21	J		
326.					Buy (add'l)	06/15/21	J		
327. - Ishares Core MSCI Emerging Markets ETF IEMG	A	Dividend	J	T	Buy	08/09/21	J		
328. - Ishares Short-Term Nat Muni Bond ETF SUB	A	Dividend	J	T	Buy	09/15/21	J		
329. - Nuveen Intermed Dur Muni Bond Fund NUVBX	B	Dividend	L	T	Buy	07/23/21	L		
330.					Buy (add'l)	07/27/21	J		
331.					Buy (add'l)	11/04/21	J		
332. Retirement Account 8 TIAA (H)									
333. - TIAA cash account	A	Interest	J	T					
334. - Bank of America Corp common stock BAC (X)		None			Sold	07/22/21	J	D	
335. - Clearbridge Large Cap Growth Fund LSITX		None	J	T	Buy	07/22/21	J		
336.					Buy (add'l)	10/29/21	J		
337.					Buy (add'l)	12/29/21	J		
338. - Cohen & Steers Real Estate Fund CREFX	A	Dividend	J	T	Buy	10/29/21	J		
339. - FlexShares Quality Dividend Index Fund QDF	A	Dividend	J	T	Buy	07/22/21	J		
340.					Buy (add'l)	10/29/21	J		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

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341. - iShares MSCI ACWI ETF ACWI (X)		None			Sold	07/22/21	K	D
342. - iShares MSCI Emerging Markets ETF EEM (X)		None			Sold (part)	07/22/21	J	
343.					Sold	08/03/21	J	
344. - VanEck Vectors Junior Gold Miners ETF GDXJ (X)		None			Sold	07/22/21	J	
345. - iShares Russell 2000 Growth ETF IWO	A	Dividend	J	T	Buy	07/22/21	J	
346. - iShares Russell 2000 Value ETF IWN	A	Dividend	J	T	Buy	07/22/21	J	
347.					Buy (add'l)	07/23/21	J	
348.					Buy (add'l)	12/17/21	J	
349. - iShares Russell Mid-Cap Growth ETF IWP	A	Dividend	J	T	Buy	07/22/21	J	
350.					Buy (add'l)	10/29/21	J	
351. - iShares Russell Mid-Cap Value ETF IWS	A	Dividend	J	T	Buy	07/22/21	J	
352.					Buy (add'l)	07/23/21	J	
353. - TIAA-CREF Large Cap Growth Index Fund TILIX	A	Dividend	J	T	Buy	07/22/21	J	
354.					Buy (add'l)	10/29/21	J	
355.					Buy (add'l)	12/17/21	J	
356. - TIAA-CREF Large Cap Value Index Fund TILVX	A	Dividend	J	T	Buy	07/23/21	J	
357.					Buy (add'l)	10/29/21	J	

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)
358. - Harding Loevner Institut Emerging Markets HLMEX	A	Dividend	J	T	Buy	08/03/21	J	
359.					Buy (add'l)	08/11/21	J	
360.					Buy (add'l)	10/29/21	J	
361. - Harding Loevner Intl Equity HLMIX	A	Dividend	J	T	Buy	07/23/21	J	
362.					Buy (add'l)	10/29/21	J	
363.					Buy (add'l)	12/17/21	J	
364. - Ishares Core MSCI EAFE ETF IEFA	A	Dividend	J	T	Buy	07/22/21	J	
365.					Buy (add'l)	10/29/21	J	
366. - Ishares Core MSCI Emerging Markets ETF IEMG	A	Dividend	J	T	Buy	08/03/21	J	
367.					Buy (add'l)	10/29/21	J	
368. - Ishares MSCI EAFE Small Cap ETF SCZ	A	Dividend	J	T	Buy	07/23/21	J	
369. - MFS Intl Discovery Fund MIDLX	A	Dividend	J	T	Buy	07/23/21	J	
370.					Buy (add'l)	12/08/21	J	
371. - Baird Core Plus Bond Fund BCOIX	A	Dividend	J	T	Buy	07/22/21	J	
372.					Buy (add'l)	10/29/21	J	
373. - DFA Inflation Protected Securities Portfolio DIPSX	A	Dividend	J	T	Buy	10/29/21	J	
374. - SPDR Dow Jones Ind Avg ETF DIA (X)		None			Sold	07/22/21	K	D

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

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Liman, Lewis J.

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)

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375. - TIAA-CREF High Yield Fund TIHYX	A	Dividend	J	T	Buy	07/22/21	J	
376. - Vanguard Intermediate Term Bond Index VBILX	A	Dividend	J	T	Buy	07/23/21	J	
377.					Buy (add'l)	10/29/21	J	
378. - Vanguard Short Term Bond Index VBIRX	A	Dividend	J	T	Buy	07/23/21	J	
379. - Ishares Gold Trust IAU		None	J	T	Buy	10/29/21	J	

1 Income Gain Codes:
(See Columns B1 and D4)
2 Value Codes
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3 Value Method Codes
(See Column C2)

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Retirement Account 1 Fidelity Investments managed by Cleary Gottlieb Steen & Hamilton LLP was rolled into Thrift Savings Plan, which is excludable from reporting under Section 102(i)(1). Line 2-3 Retirement Plan did not provide income information nor purchase/sales information.

Investment Account 1 Charles Schwab managed by KF Advisors: Line 24 and 25 were spinoffs from DAG Ventures V QP, LP (Line 33).

RCP Apex II Syndication Partners LP: Line 37 was incorrectly named Riversone RCP Apex II LP Line 77 on previous filing.

Retirement Account 2 Cash Balance Plan: Line 42-59 Retirement plan did not provide income information nor purchase/sales information.

Effective December 1, 2021 Facebook (FB) changed its name to Meta (MVRs). See respective lines for name change.

Investment Account 3 Charles Schwab managed by KF Advisors: Investment Line 70 Vulcan Value Partners VVISX was incorrectly labeled VVPXS on previous filing.

Investment Account 4 Charles Schwab managed by KF Advisors: Investment Line 83 Vulcan Value Partners VVISX was incorrectly labeled VVPXS on previous filing.

Investment Account 5 Neuberger Berman: Investment Line 112 Cintas Corp CTAS was incorrectly labeled STAS on previous filing.

Investment Account 5 Neuberger Berman: Investment Line 124 was a spinoff of Pfizer (PEF), line 105 originally acquired in 2015, resulting in a Column D sale with no prior purchase.

Investment Account 5 Neuberger Berman: Line 87 remainder investments were transferred to Investment Account 10 TIAA Line 278.

Retirement Account 4 Charles Schwab IRA: Line 138 remainder investments were transferred into Retirement Account 8 Line 332.

Retirement Account 5 John Hancock managed by Wilmer Hale: Line 153 investment was rolled into Thrift Savings Plan, which is excludable from reporting under Section 102(i)(1).

Retirement Account 6 Richemont North America: Line 155 investment was sold, with proceeds being rolled into Thrift Savings Plan, which is excludable from reporting under Section 102(i)(1).

Retirement Account 7 Merrill (Bank of America Co): Line 169 Investment was rolled into Thrift Savings Plan, which is excludable from reporting under Section 102(i)(1).

Riverstone Credit Partners - Direct LP: Line 173 investment was inadvertently excluded from previous filing.

Investment Account 9 Charles Schwab managed by KF Advisors: Line 276 cash account opened during the current reporting period.

Citizens Wealth cash account opened during the current reporting period.

Investment Account 10 TIAA: Investment Lines 280-295, 305-320 were transferred from Investment Account 5 Neuberger Berman.

Retirement Account 8 TIAA: Lines 334, 341, 342, 344, and 374 were transferred from Retirement Account 4 Charles Schwab IRA.

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Name of Person Reporting

Liman, Lewis J.

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05/13/2022

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Lewis J. Liman**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK
OFFICE OF THE CLERK
500 PEARL STREET
NEW YORK, NEW YORK 10007



RUBY J. KRAJICK
CLERK OF COURT

February 25, 2022

BY ECF AND OVERNIGHT MAIL

Brendan Joseph O'Rourke
Proskauer Rose LLP (NYC)
11 Times Square
New York, NY 10036

David H. Bernstein
Debevoise & Plimpton, LLP (NYC)
919 Third Avenue, 3rd Floor
New York, NY 10022

Re: 1:13-cv-01041-LJL-DCF, Tiffany and Company v. Costco Wholesale Corporation

Dear Counsel,

I have been contacted by Judge Lewis J. Liman, U.S.D.J., who presided over the above-mentioned case.

Judge Liman informed me that it has been brought to his attention that while he presided over the case, his wife owned stock in Costco Wholesale Corporation. His wife's stock ownership is imputed to Judge Liman. That ownership of stock neither affected nor impacted his decisions in this case. However, that stock ownership would have required recusal under the Code of Conduct for United States Judges, and thus, Judge Liman directed that I notify the parties of the potential conflict.

Advisory Opinion 71, from the Judicial Conference Codes of Conduct Committee, provides the following guidance for addressing disqualification that is not discovered until after a judge has participated in a case:

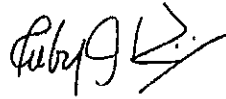
Notice to Counsel of Record
February 25, 2022
Page 2

[A] judge should disclose to the parties the facts bearing on disqualification as soon as those facts are learned, even though that may occur after entry of the decision. The parties may then determine what relief they may seek and a court (without the disqualified judge) will decide the legal consequence, if any, arising from the participation of the disqualified judge in the entered decision.

Although Advisory Opinion 71 contemplated disqualification after a Court of Appeals oral argument, the Committee explained “[s]imilar considerations would apply when a judgment was entered in a district court by a judge and it is later learned that the judge was disqualified.”

If you wish to respond to the disclosure of a potential conflict in this matter, please file your response in the above-named case. Any response will be considered by another judge of this court without the participation of Judge Liman.

Sincerely,

A handwritten signature in black ink, appearing to read "Ruby J. Krajick", with a stylized flourish at the end.

Ruby J. Krajick
Clerk of Court

cc: Hon. Lewis J. Liman, U.S.D.J.